

COOPERATIVE STATE RESEARCH,
EDUCATION, AND EXTENSION SERVICE

U.S. DEPARTMENT OF AGRICULTURE

**EQUITY IN EDUCATIONAL
LAND-GRANT STATUS ACT OF 1994
PROGRAM (EXTENSION WORK)**

GUIDELINES FOR PROPOSAL
PREPARATION AND SUBMISSION

FISCAL YEAR 2001

DUE DATE: May 11, 2001

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Application Guidelines

I. GENERAL INFORMATION

A. Legislative Authority

This program is authorized under Section 534(b) of the Equity in Educational Land-Grant Status Act of 1994, (7 U.S.C. 301 note) as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601). This section amends Section 3 of the Act of May 8, 1914 (Smith-Lever Act), as amended. Under this authority, appropriated funds are to be paid to the 1994 Institutions for Extension work and are to be distributed on the basis of a competitive application process.

B. Definitions

For the purpose of making awards under this program, the following definitions are applicable:

(1) *1994 Institution* means one of those 30 institutions (named in Section I. C.) as defined in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note) as amended.

(2) *1862 Institution* means one of those institutions eligible to receive funds under the Act of July 2, 1862 (12 Stat. 503, chapter 130; 7 U.S.C. 301 et seq.).

(3) *1890 Institution* means one of those institutions eligible to receive funds under the Act of August 30, 1890 (26 Stat. 419, chapter 841, 7 U.S.C. 321 et seq.) including Tuskegee University.

(4) *Administrator* means the Administrator of the Cooperative State Research, Education, and Extension Service (CSREES) and any other officer or employee of the Department to whom the authority involved is delegated.

(5) *Authorized Departmental Officer (ADO)* means the Secretary or any employee of the Department who has the authority to issue or modify award instruments on behalf of the Secretary.

(6) *Authorized Organizational Representative (AOR)* means the President of the 1994 Institution (Tribal College) who has the authority to commit the resources of the organization.

(7) *Award* means the provision of funds by the Secretary to an entity to assist in meeting the costs of conducting, for the benefit of the public, an identified project which is intended and designed to accomplish the purpose of the program as identified in these application guidelines.

(8) *Awardee* means the organization designated in the award document as the responsible legal entity to which an award is made.

(9) *Budget period* means the interval of time (usually 12 months) into which the project period is divided for budgetary and reporting purposes.

(10) *Department* or *USDA* means the United States Department of Agriculture.

(11) *Panel of individual experts* means a group of experts qualified by training and experience in particular fields to give expert advice on the merit of award applications in such fields, who evaluate eligible proposals submitted to this program in their personal area(s) of expertise.

(12) *Project directors* means the individuals designated in the award application and approved by the Secretary who are responsible for the direction and management of the project.

(13) *Prior approval* means written approval evidencing prior consent by an ADO as defined in (5) above.

(14) *Project* means the particular activity within the scope of the program supported by an award.

(15) *Project period* means the period, as stated in the award document and modifications thereto, if any, during which Federal sponsorship begins and ends.

(16) *Secretary* means the Secretary of Agriculture and any other officer or employee of the Department to whom the authority involved is delegated.

C. Eligibility

The 1994 Institutions are eligible to submit proposals for Extension work, as defined in Section II. D. of these application guidelines. The 1994 Land-Grant Institutions are: Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, College of the Menominee Nation, Crownpoint Institute of Technology, D-Q University, Diné Community College, Dull Knife Memorial College, Fond Du Lac Tribal and Community College, Fort Belknap College, Fort Berthold Community College, Fort Peck Community College, Haskell Indian Nations University, Institute of American Indian Arts, Lac Courte Oreilles Ojibwa Community College, Leech Lake Tribal College, Little Big Horn College, Little Priest Tribal College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Si Tanka College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Southwest Indian Polytechnic

Institute, Stone Child College, Turtle Mountain Community College, and United Tribes Technical College.

Awards will be made directly to the 1994 Institutions and may be administered by the 1994 Institutions. At the discretion of a 1994 Institution, funds awarded may be administered by the 1994 Institution through a cooperative agreement with an 1862 Institution or an 1890 Institution.

Applicant 1994 Institutions are encouraged to continue to seek and create partnerships with other land-grant institutions and to collaborate with these and other appropriate organizations in the performance of project objectives to promote Extension work important to the 1994 Institutions and the individuals and communities they serve.

II. PROGRAM DESCRIPTION

These application guidelines set out the objectives for this program, the eligibility criteria for projects and applicants, the application procedures, and the set of instructions needed to apply for awards under this program.

A. Purpose of Program

This program provides funding for the 1994 Institutions to conduct non-formal education and outreach activities to help meet the needs of the Native American people and to provide essential services to their communities. Awards will be made in support of one or more of the following extension base program areas: Agriculture; Community Resource and Economic Development; Family Development and Resource Management; 4-H and Youth Development; Leadership and Volunteer Development; Natural Resources and Environmental Management; and Nutrition, Diet and Health.

B. Available Funds and Award Limitations

The total amount of funds available in fiscal year (FY) 2001 for support of this program is approximately \$3,142,000. CSREES is soliciting proposals for two separate categories of awards: 1) Increasing Extension Program Capacity; and 2) Extension Special Emphasis Projects. Applications must be submitted *separately* for these categories under these application guidelines. Available funds will be allocated in the following way:

1. Increasing Extension Program Capacity

An amount of \$2,400,000 will be available, under a competitive review process, to increase Extension program capacity at the 1994 Institutions. Under this category, each 1994 Institution may request up to \$80,000 for a duration not to exceed one year (12 months from the start date). Applicants may submit only one proposal for the same program area(s) (see Section II. D. of these application guidelines). The amount of funds requested by an individual institution

or in collaboration between or among institutions, including any amount to be subawarded, must be clearly outlined in the proposal budget and budget narrative. In addition, the level of effort to be undertaken by an individual institution or in collaboration between or among institutions must be clearly outlined in the proposal narrative. Awards will be based on the merit of proposed projects. USDA reserves the right to negotiate final budgets with successful applicants.

2. Extension Special Emphasis Projects

Under a competitive review process, an amount of approximately \$741,800, plus any funds that may not have been awarded in the Increasing Extension Program Capacity category, will be available for projects that address a special need, take advantage of an important opportunity, and/or demonstrate long-term sustained benefit. 1994 Institutions may request a total of up to \$100,000 for each project for a duration not to exceed three years (36 months from the start date). Applicants may submit only one proposal for the same program area(s) (see Section II. D. of these application guidelines). There is no limit on the number of proposals a 1994 Institution, or group of 1994 Institutions, may submit. The amount of funds requested by an individual institution or in collaboration between or among institutions, including any amount to be subawarded, must be clearly outlined in the proposal budget and budget narrative. In addition, the level of effort to be undertaken by an individual institution or in collaboration between or among institutions must be clearly outlined in the proposal narrative. Awards will be based on the merit of proposed projects. USDA reserves the right to negotiate final budgets with successful applicants.

It is strongly suggested that applicants clearly explain how the proposed project merits consideration as an Extension Special Emphasis Project. For example, explanations could include, but are not limited to, how well collaborative efforts will enhance program planning, delivery and evaluation strategies; how closely the proposed project's goals are linked with existing long-term goals of the institution(s) and/or unit responsible for program implementation; or how well the project includes proposed plans for effective replication in other States and tribal communities. Projects which build upon other planning and implementation concepts that relate to the Cooperative Extension System base programs will be considered. However, objectives funded by other agencies are not eligible.

C. Matching Funds

Matching funds are not a requirement under this program.

D. Scope of the Project(s) Eligible for Support

Awards will be made in each category (see Section II. B.) in support of one or more of the following base program areas: Agriculture; Community Resource and Economic Development; Family Development and Resource Management; 4-H and Youth Development; Leadership and Volunteer Development; Natural Resources and Environmental Management; and Nutrition, Diet and Health.

Projects proposed for funding under the Increased Extension Program Capacity category and the Extension Special Emphasis Projects category should support the 1994 Institution(s)' long-range goals. The scope of projects eligible for support include:

Agriculture: Educational programs emphasize systems approaches that maintain and enhance profitability through the application of sound crop and animal production practices, farm business management, marketing techniques, decision making skills, and environmental considerations. These problem-oriented programs transfer latest proven technologies to clientele and promote optimum use of resources consistent with environmental and family goals.

Community Resources and Economic Development: Educational programs target development of all community resources, emphasizing economic viability. The purpose is to teach comprehensive community economics analysis to help communities create strategies to strengthen existing employers, attract new enterprises, and encourage local entrepreneurship. Program topics include community services and facilities, housing, and human development through leadership and public policy awareness.

Family Development and Resource Management: These programs help individuals and families strengthen the competencies to become healthy, productive, financially secure, and environmentally responsible members of society. Education is targeted to the management of resources, including money, time, apparel, housing, and energy; strengthening individual and family relationships; providing quality care for children; and maximizing the independence of the elderly.

4-H and Youth Development: Activities focus on building lifelong learning skills that develop youth potential. This extensive set of programs is designed to engage youth in healthy learning experiences, including self-esteem and problem-solving skills. Programs address stress management, self-productive skills, parent-teen communication, personal development, careers, outreach and interchange, and global understanding. A wide range of content offerings encourage youth to explore science, technology, and citizenship to look at the issues confronting their world today.

Leadership and Volunteer Development: These programs emphasize the development of life skills, especially leadership. Leadership and volunteer programs empower participants to improve their self-esteem and life skills and to strengthen the communities in which they live and work. Volunteers multiply program impacts, expand public policy education, and improve community organization and leadership.

Natural Resources and Environmental Management: Activities focus on programs on the management, use, and sustainability of natural resources, with special attention to environmental stewardship and biodiversity. Programs encompass soil, water, air, and plant management; fish and wildlife management, aquaculture, conservation, and forestry; sustainable use and management of rangelands, wetlands, and wildlands; land-use planning; and use of information systems.

Nutrition, Diet, and Health: Educational programs provide individuals and families with a knowledge base with which to make informed decisions about food, nutrition, and health. Objectives include helping people achieve and maintain optimum weight and reduce risks of chronic disease; give birth to healthy babies; practice responsible and healthy self-care; and improve consumers' abilities to make informed choices relating to food safety, quality, and composition. Programs are shaped by the dramatic changes in U.S. family structure and lifestyle and are targeted for the nutritionally vulnerable.

E. Applicant Merit Review Requirements

Section 103(e) of the Agricultural Research, Extension, and Education Reform Act of 1998, (7 U.S.C. 7613(e)) requires land-grant recipients to arrange a merit review of their proposed extension activities prior to award. "Merit Review" is defined as "an evaluation of a proposed project or elements of a proposed program whereby the technical quality and relevance to regional or national goals are assessed. Merit reviewers may not include principals, collaborators or others involved in the preparation of the application under review." As a condition of the grant award, you must certify that a merit review of the proposal has been performed and that it meets the intent set forth in the above guidelines (see Section III. I.).

III. PREPARATION OF A PROPOSAL

Proposal Format for Increasing Extension Program Capacity and Extension Special Emphasis Projects

A. Cover Page

Complete the "Project Application Title Page" (Form CFD-2101) in its entirety. One copy of Form CFD-2101 must contain the pen-and-ink signatures of the project director(s) and AOR for the applicant organization. (Please note: the Application Submission Package is currently under revision. Meanwhile, the name of the AOR for the applicant organization (i.e., the President of the 1994 Institution (Tribal College)) should appear on line 2 of the Title Page. The signature of the AOR for the applicant organization should appear on the line that reads "Signature of CES Director/Administrator".)

B. Table of Contents

For ease in locating information, each proposal must contain a detailed table of contents just after the proposal cover page. The Table of Contents should include page numbers for each component of the proposal. Pagination should begin immediately following the Table of Contents.

C. Project Narrative

The Project Narrative of the proposal must be prepared on standard 8-1/2" x 11" paper with typing on one side of the page only and double-spaced. In addition, margins must be at least one inch, type must be 12 characters per inch (12 pitch or 10 point) or larger, and there should be no page reductions. The project narrative shall not exceed 20 pages. The project narrative must state and address each of the following items:

1. Situational Statement, Statement of Program Objectives, and Goals Statement.
2. Target Audience and Geographic Description of the Area to be Served.
3. Statement of Approach: Include major strategies to be undertaken; planned innovations to be launched; materials and technology to be used; training to be provided; partnerships and collaborative efforts (both internal and external) to be pursued; and linkages to other programs and projects, where appropriate.
4. Project Review and Evaluation: Include plans for measuring the extent to which a project is successful in improving extension programs in one or more of the program areas described in Section II. D. of these application guidelines, helps to achieve the 1994 Institutions' long-range goals, and improves collaborations among 1994, 1862 and 1890 Institutions in serving the targeted audience.

D. Key Personnel

Describe the qualifications of the key personnel that will be required for this project, including education, training, and relevant work experience.

E. Budget

"Budget" (Form CFD-2102): Prepare the budget form in accordance with instructions provided with the form. This form must be signed by the project director(s) and the 1994 Institution's AOR in the space provided for the State Extension Director/Administrator. In addition, a budget narrative is required detailing the requested total support for the overall project period. (Attachment A contains detailed guidelines for completing budget forms and narrative.) Funds may be requested under any of the categories listed on the form, provided that the item or service for which support is requested is allowable under the authorizing legislation, the applicable Federal cost principles and these application guidelines, and can be justified as necessary for the successful conduct of the proposed project.

Funds may be used for:

- c Salaries and appropriate fringe benefits for individuals involved in the planning, development, delivery, and evaluation of Extension programs.
- c Purchase of equipment that specifically supports project objectives. No more than twenty-five percent (25%) of the budget may be used for the equipment purchases. All equipment purchased with Federal funds is the property of the awardee or the subawardee.
- c Materials and supplies should be indicated in general terms with estimated costs.
- c Travel costs incurred in direct support of the project. Travel information should include the purpose of the trip, destination, number of days, type of travel (personal vehicle, train, airplane, etc.), and an estimate of the total cost per trip. If this information is not available then provide the information used to estimate the cost of the trip.
- c Publication/printing costs can include the costs of preparing and publishing the results of the project, including costs of reports, reprints, page charges, or other journal costs, as well as necessary illustrations. These cost itemizations should include what is being produced, what is the cost, and how the publication will be utilized. If publications or audio-visual materials will be produced, indicate how many copies will be produced and how they will be distributed.
- c Indirect costs are not allowed.

F. Results from Prior Support

For those applicants who have received Tribal Colleges Extension Program support in prior years, information on results from that prior funding is required. Include the award number, amount and period of support, title of the project, a summary of the results of the completed work, and long-term effects of these results. This information will be used in the review of proposals in the Increasing Extension Program Capacity and the Extension Special Emphasis Projects categories, and is limited in length to two pages. (See Section V. B. "Evaluation Criteria" of these application guidelines.)

G. Current and Pending Support (Form CSREES-663)

A Form CSREES-663, "Current and Pending Support," should be prepared and included for each key personnel identified in the proposal who has committed portions of their time to the program, whether or not salary support for the person(s) involved is included in the budget.

Analogous information must be provided for any pending proposals that are being considered by, or that will be submitted in the near future to, other possible sponsors, including other USDA programs or agencies. Concurrent submission of identical or similar proposals to the possible sponsors will not

prejudice proposal review or evaluation by the Administrator for this purpose. However, a proposal that duplicates or overlaps substantially with a proposal already reviewed and funded (or that will be funded) by another organization or agency will not be funded under this program.

H. Compliance with the National Environmental Policy Act (NEPA)

As outlined in 7 CFR Part 3407 (CSREES regulations implementing NEPA), the environmental data for any proposed project is to be provided to CSREES so that CSREES may determine whether any further action is needed. In some cases, however, the preparation of environmental data may not be required. Certain categories of actions are excluded from the requirements of NEPA.

In order for CSREES to determine whether any further action is needed with respect to NEPA, pertinent information regarding the possible environmental impacts of a particular project is necessary; therefore, Form CSREES-1234, "NEPA Exclusions Form," must be included in the proposal indicating whether the applicant is of the opinion that the project falls within a categorical exclusion and the reasons therefore. If it is the applicant's opinion that the proposed project falls within the categorical exclusions, the specific exclusion must be identified. Form CSREES-1234 and supporting documentation should be placed after the "Table of Contents" in the proposal.

Even though a project may fall within the categorical exclusions, CSREES may determine that an Environmental Assessment or an Environmental Impact Statement is necessary for an activity, if substantial controversy on environmental grounds exists or if other extraordinary conditions or circumstances are present which may cause such activity to have a significant environmental effect.

I. Merit Review Certification

By signing the Application for Funding form, the AOR of the applicant institution is providing the required certification that the full proposal has received a credible and independent merit review arranged by the institution (see Section II. E.).

J. Other Certifications

By signing Form CFD-2101, the applicant is providing the required certifications set forth in 7 CFR Part 3017, as amended, regarding Debarment and Suspension and Drug-Free Workplace, and 7 CFR Part 3018, regarding Lobbying. The certification forms are included in this application package for informational purposes only. It is not necessary to submit the individual forms to USDA.

IV. SUBMISSION OF A PROPOSAL

A. What to Submit

An original and 10 copies of the proposal must be submitted. Each copy of each proposal must be stapled in the upper left-hand corner (DO NOT BIND). All copies of the proposal must be submitted in one package.

B. Where and When to Submit

PROPOSALS MUST BE RECEIVED ON OR BEFORE **May 11, 2001**. Therefore, applicants are highly encouraged to convey their completed proposals via overnight mail or delivery services to ensure timely receipt by the USDA. Proposals received after **May 11, 2001** will not be considered for funding. Proposals sent by mail must be sent to the following address: 1994 Institutions Extension Program; c/o Proposal Services Unit; Office of Extramural Programs; USDA/CSREES; Stop 2245, 1400 Independence Avenue, S.W., Washington, DC 20250-2245.

NOTE: Hand-delivered proposals or those delivered by overnight express service should be brought to the following address: 1994 Institutions Extension Program; c/o Proposal Services Unit; Office of Extramural Programs; USDA/CSREES; Room 1307, Waterfront Centre; 800 9th Street, S.W.; Washington, D.C. 20024.

C. Acknowledgment of Proposals

The receipt of all proposals will be acknowledged via the Internet (e-mail). Therefore, it is important to include your e-mail address on the proposal cover page (Form CFD-2101) when applicable. This acknowledgment will contain a proposal identification number. Once your proposal has been assigned a proposal number, please cite that number in future correspondence.

V. SELECTION PROCESS AND EVALUATION CRITERIA

A. Selection Process

Each proposal will be evaluated in a two-part process. First, each proposal will be screened to ensure it meets the requirements as set forth in these application guidelines. However, USDA retains the right to conduct discussions with applicants to resolve technical and/or budget issues as deemed necessary by USDA. Second, proposals that meet these requirements will be technically evaluated by one of the two panels of individual experts that will be convened to review proposals in the Increasing Extension Program Capacity category and the Extension Special Emphasis Projects category. These experts will be selected from among those uniquely qualified by training and experience to render expert advice on the merit of proposals being reviewed. It is anticipated that these experts will be drawn from a number of areas, among them government, universities, and entities involved in Native American issues. The individual views of the panel members will be used to determine which proposal should be recommended to the Administrator (or his/her designee) for final funding decisions. Care will be taken to avoid actual and potential conflicts of interest among reviewers. To the extent permitted by law,

evaluations will be confidential to USDA staff members, peer reviewers, and the proposed principal project director(s).

There is no commitment by USDA to fund any particular proposal or to make a specific number of awards. USDA also may elect to fund several or none of the proposed approaches to the same topic area.

B. Evaluation Criteria

Reviewers will be instructed to score and rank the applications in both the Increasing Extension Program Capacity and the Extension Special Emphasis Projects categories based on the following criteria and percentage system:

How well the case for overcoming a problem or taking advantage of an opportunity is established	20%
Whether the project is sufficiently focused and a critical mass of leadership and resources are available to undertake the activity	15%
Whether the project approach appears to be cost-effective	10%
Encourages partnership ventures	10%
Includes sound quality-control measures	10%
Includes realistic methodology to evaluate the outcomes of the project	15%
For those institutions that received funds in prior years under this program, the extent to which results from prior support have met stated program objectives and goals. (Report on all projects funded under this program, and summarize clearly identified outcomes and impacts on the community. Institutions that received no funding, funding in one year only, or funding under one category only will not be penalized.)	15%
Ways are identified for dealing with contingencies	5%

The proposed area of work targeted by the project will be examined to ensure relevance to the Extension program areas outlined in Section II. D. of these application guidelines, as well as to the 1994, 1862 and 1890 Land-Grant Institutions' capacity for achieving overall excellence in Extension work through mutually supported, integrated programs.

After an award application is reviewed, it may be necessary to negotiate such aspects as project approaches, elements, budget items, etc. CSREES staff will work with project directors to ensure that an award application is adequate, clear, and focused, and that support for carrying out the project is adequate.

VI. SUPPLEMENTARY INFORMATION

A. Access to Peer Review Information

After final decisions have been announced, CSREES will, upon request, inform the AOR of the reasons for its decision on a proposal. Verbatim copies of summary reviews, not including the identity of the reviewers, will be made available to respective project directors upon specific request.

B. Awards

1. General: Within the limit of funds available for such purpose, the awarding official of CSREES shall make awards to those responsible, eligible applicants whose proposals are judged most meritorious in meeting the evaluation criteria and procedures set forth in these application guidelines. The date specified by the Administrator as the effective date of the award shall be no later than September 30 of the Federal fiscal year in which the project is approved for support and funds are appropriated for such purpose, unless otherwise permitted by law. It should be noted that the project need not be initiated on the award effective date, but as soon thereafter as practicable so that project goals may be attained within the funded project period. All funds awarded by CSREES under these application guidelines shall be expended solely for the purpose for which the funds are awarded in accordance with the approved application and budget, the regulations, the terms and conditions of the award, the applicable Federal cost principles, and the Department's assistance regulations (parts 3015 and 3019 of 7 CFR).

2. Award Document: The award document shall include at a minimum the following:

a. Legal name and address of performing organization or institution to whom the Administrator has made the award under the terms of these application guidelines;

b. Title of Project;

c. Name(s) and address(es) of project director(s) chosen to direct and control approved activities;

d. Identifying award number (assigned by the Department);

e. Project period, specifying the amount of time the Department intends to support the project without requiring recompetition for funds;

f. Total amount of Departmental financial assistance approved by the Administrator during the project period;

g. Legal authority(ies) under which the award is made;

h. Approved budget plan for categorizing allocable project funds to accomplish the stated purpose of the award; and

i. Other information or provisions deemed necessary by CSREES to carry out its activities or to accomplish the purpose of a particular award.

3. Notice of Award. The notice of award, in the form of a letter, will be prepared and will provide pertinent instructions or information to the awardee that is not included in the award document.

C. Use of Funds; Changes

1. Delegation of Fiscal Responsibility: The awardee may not in whole or in part delegate or transfer to another person, institution, or organization the responsibility for use or expenditure of funds.

2. Changes in Project Plans:

a. The permissible changes by the awardee, project director(s), or other key project personnel in the approved award shall be limited to changes in methodology, techniques, or other aspects of the project to expedite achievement of the project's approved goals. If the awardee and/or the project director(s) are uncertain as to whether a change complies with this provision, the question must be referred to the CSREES Authorized Departmental Officer (ADO) for a final determination.

b. Changes in approved goals, or objectives, shall be requested by the awardee and approved in writing by the CSREES ADO prior to effecting such changes. In no event shall requests for such changes be approved which are outside the scope of the original approved project.

c. Changes in approved project leadership or the replacement or reassignment of other key project personnel shall be requested by the awardee and approved in writing by the awarding official of CSREES prior to effecting such changes.

d. Transfers of actual performance of the substantive programmatic work in whole or in part and provisions for payment of funds, where Federal funds are involved, shall be requested by the awardee and approved in writing by the Department prior to effecting such transfers.

e. Changes in Project Period: The project period may be extended by CSREES without additional financial support, for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of an award.

f. Changes in Approved Budget: Changes in an approved budget must be requested by the awardee and approved in writing by the ADO prior to instituting such changes if the revision will involve transfers or expenditures of amounts requiring prior approval as set forth in the applicable Federal cost principles, Departmental regulations, or in the award.

D. Other Federal Statutes and Regulations that Apply

Several other Federal statutes and regulations apply to proposals considered for review and to project awards under this program. These include but are not limited to:

7 CFR Part 1.1--USDA implementation of the Freedom of Information Act.

7 CFR Part 3--USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A--USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 3015--USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., Circular Nos. A-21, and A-122) and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017--USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants).

7 CFR Part 3018--Restrictions on Lobbying, prohibiting the use of appropriated funds to influence Congress or a Federal agency in connection with the making of any Federal grant and other Federal contracting and financial transactions.

7 CFR Part 3019--USDA Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations implementing OMB Circular A-110.

7 CFR Part 3052--USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.

7 CFR Part 3407--CSREES procedures to implement the National Environmental Policy Act.

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and CFR Part 15b (USDA implementation of statute), prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq.--Bayh-Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

E. Confidential Aspects of Proposals and Awards

When a proposal results in an award, it becomes a part of the record of the Agency's transactions, available to the public upon specific request. Information that the Secretary determines to be of a privileged nature will be held in confidence to the extent permitted by law. Therefore, any information

that the applicant wishes to have considered as privileged should be clearly marked as such and sent in a separate statement, two copies of which should accompany the proposal. The original copy of a proposal that does not result in an award will be retained by the Agency for a period of one year. Other copies will be destroyed. Such a proposal will be released only with the consent of the applicant or to the extent required by law. A proposal may be withdrawn at any time prior to the final action thereon.

VII. FOR FURTHER INFORMATION CONTACT

For further information, please contact Joan F. Gill; at (202) 720-6487(phone), or jgill@reeusda.gov (e-mail).

ATTACHMENT A

United States Department of Agriculture Cooperative State Research, Education, and Extension Service Office of Extramural Programs

Required Budgetary Details

CSREES reviews the proposed project's costs to make certain those costs are reasonable for the project and allowable per the Office of Management and Budget (OMB) Circular A-110 -- Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21 -- Cost Principles for Educational Institutions; OMB Circular A-122 -- Cost Principles for Non-Profit Organizations; 7 CFR 3015 -- USDA Federal Assistance Regulations; 7 CFR 3019 -- Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; and other statutory regulations as applicable.

To help in this review, as well as to expedite the award process, budgets need to include a narrative detailing the various line items. The categories listed below are examples of some of the more common items found in project budgets. All items should be described in the narrative in sufficient detail that would enable CSREES to determine the costs are reasonable and allowable for the project per the regulations:

1. **Salaries** - Provide the % of effort or full time equivalent for each primary participant (Principal Investigator, Project Director, or other personnel directly associated with the project) and the corresponding dollar amount for the time stated. Please note that only persons employed by the recipient organization should be listed in this category. Those employed elsewhere should be listed as subcontractors or consultants in the "All Other Costs" category.

Secretarial and Clerical Salaries - per the OMB Circulars, A-21 -- Cost Principles for Educational Institutions, and A-122 -- Cost Principles for Non-Profit Organizations, for these salaries to be allowable as a direct charge to the award, a justification of how that person will be directly involved in the project must be included in the narrative. General administrative or accounting duties are not considered acceptable. The duties must be directly related to the project plan.

2. **Fringe Benefits** - Show the total of allowable fringe benefits.

3. **Non-Expendable Equipment** - This category includes items of equipment equal to or in excess of \$5,000 (or lower depending on your institutional policy) and having a useful life of more than one year. Details such as the type of equipment, cost, and a brief narrative on the intended use of the equipment for project objectives is required. Purchases of less than \$5,000 may be listed under "Materials and Supplies" or "All Other Costs". Please note that a computer system (keyboard, monitor and hard-drive) would be considered a unit and does not have to be listed separately. If the proposed equipment was previously purchased for the project, the brief narrative should include a rationale of why you need another of the same item.

Software is not considered to be "non-expendable equipment" and should not be listed here. It is more appropriately listed under "Materials and Supplies."

4. **Materials and Supplies** - This could be anything from office supplies and software to educational or field supplies. For those items that are not typical materials and supplies, it would be best to include a brief narrative of how this fits the program. Indicate the types of expendable materials and supplies in general terms with estimated costs. (Office supplies such as pens, paper, toner, etc. - \$500; Gardening supplies such as soil and fertilizer - \$500.)

Telephone, postage, fax and express mail costs should not be included in this category. They are more appropriately listed in the “All Other Costs” category.

5. **Travel** - Provide information used in estimating the cost such as: the destination, purpose, number of travelers, number of days, and estimated cost per trip (e.g., St. Louis, Missouri, to attend a conference; 5 days, 2 persons - \$1,000 ea.) For trips where the destination is not known, simply state “destination not determined;” however, be sure to state the purpose of the trip and other information used to determine the estimated cost.

For local travel (where personal auto is used and reimbursed), provide the purpose and total dollar amount of reimbursement for vehicle use. If any overnight stays are anticipated, include the number of nights and the amount for meals and lodging (e.g., local travel for site visits to farmers in neighboring counties - \$500 for mileage and \$500 for meals and lodging (5 days @ \$100/day) = \$1,000).

6. **Publications/Page Charges** - This line is associated with the publishing of an article in a scientific or technical journal or other type of field/program related publication or for commercial printing of brochures or program materials. Provide details such as the number of copies to be printed or the cost per page for journal articles. Photocopying costs should be included under the “All Other Costs” category.

7. **Computer (ADPE) Costs** - Represents the charges associated with your organization's shared computer system (i.e., line charges or computer processing unit usage costs) provided these are normal organizational charges. Provide the rate charged and estimated cost. Charges for Internet access may be included in this category. Equipment purchases should be listed under “Nonexpendable Equipment” or “Materials and Supplies”, as appropriate.

8. **All Other Costs** - Anticipated direct project charges not included in other budget categories should be included in this category. A description, cost, and justification must be included in the budget narrative for each item. Examples of items are:

a. **Communications** - Mailings, postage, express mail, faxes, and telephone long distance charges. Provide the estimated cost for each of these items.

b. **Photocopying** - Photocopying of materials associated with the program. Photocopying should not be confused with “Publications/Page Charges” which are costs related to publishing in a journal or commercial printing of brochures and other materials.

c. **Subcontracts** - When a portion of the work proposed will be performed by outside sources, a statement of work (proposal) and cost details from the proposed subcontractor should be submitted. The level of detail required for the subcontract budget is the same as the recipient’s organization.

To avoid problems and questions during the review phase, please provide the full proposal as submitted by the subcontractor organization.

d. **Consultants** - A consultant is someone who renders expert advice in his/her field. The consultant should not be affiliated with the performing organization. Budget details should include the name of the consultant and his/her organization, a statement of work, and a breakdown of the amount being charged to the project (e.g., number of days of service, rate of pay, travel, per diem, etc.).

e. **Service or Maintenance Contracts** - Costs should be in direct correlation to the use of the equipment for the project (i.e., if a particular copy machine is used 50% of the time for the project, the project should only be charged 50% of the service/maintenance costs). Provide details of the type of equipment and the full rate of the service contract, and provide the amount of the service contract to be paid from Federal funds.

f. **Conferences/Meetings** - Costs of holding a conference or meeting are included in this category. Some examples are the rental of facilities and equipment for the meeting, honorariums or fees for trainers or guest speakers and travel and per diem for participants and speakers. Details of costs for each conference or meeting must be broken out and provided in the budget narrative.

Meals may not be charged as project costs when individuals decide to go to breakfast, lunch, or dinner together when no need exists for continuity of a meeting. Such activity is considered to be an entertainment cost. In contrast, it is CSREES policy that a formal group meeting being conducted in a business atmosphere may charge meals to the project if such activity maintains the continuity of the meeting and to do otherwise will impose arduous conditions on the meeting participants. Please note this requires the USDA Authorized Departmental Officer's approval prior to incurring such a cost. This does not pertain to persons in travel status. When paying for the travel of a person to attend a conference, meals and lodging may be included in the cost without additional justification.

g. **Speaker/Trainer Fees** - Provide details of these individuals such as: their name, title, employer, and their fee(s) (include number of persons, number of days, and cost per person), as well as a description of the services they are performing.

h. **Honorariums** - Honorariums to persons providing a service are allowable. Provide information regarding the honorarium amount (e.g., number of hours/days and rate of pay) and a brief statement regarding what the person is doing to earn the honorarium.

i. **Office Rental** - When an office is located off-campus in space not owned by the recipient's organization, the cost of the rent may be charged against the award. The budget narrative must provide details on the monthly rental charge and the reason off-campus space is needed (e.g., the office needs to be located within the community being served and the community is a great distance away from the campus).

j. **Land-Use Charges** - When there is a charge for using land owned by the Cooperative Extension Service, the Experiment Station or others for research or demonstration purposes, provide the charge per acre (or other rate charged), number of acres, and total cost. Please state whether this is charged to all projects or if it is special to this award.

k. **Other/Miscellaneous** - These costs must always be identified and itemized.

Applicable Regulations

Federal statutes and regulations which apply to project grants awarded under this program include but are not limited to:

OMB Circular A-110 - Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.

OMB Circular A-122 - Cost Principles for Non-Profit Organizations.

OMB Circular A-133 - Audits of States, Local Governments, and Non-Profit Organizations.

OMB Circular A-21 - Cost Principles for Educational Institutions.

7 CFR 3015 - USDA Uniform Federal Assistance Regulations.

7 CFR 3019 - USDA Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.

Copies of OMB Circulars and USDA Federal Assistance Regulations applicable to this program may be found at the following web-site:

<http://www.whitehouse.gov/OMB/circulars/index.html>.

Unallowable Costs

Unallowable costs include, but are not limited to the following examples:

1. **Entertainment** - Banquets, award ceremonies, meals for persons not in a travel status except when they are provided to maintain the continuity of a meeting, tickets to shows or sporting events, and alcoholic beverages are never permitted.
2. **Awards and Certificates of Achievement** - Federal funds for awards and certificates of achievement for program participants and/or employees are prohibited by OMB Circular, A-21 -- Cost Principles for Educational Institutions, and OMB Circular A-122 -- Cost Principles for Non-Profit Organizations.
3. **Capital Improvements** - The use of Federal funds from this program for renovations or improvements to buildings, land, or equipment is prohibited.
4. **Tuition Remission** - This is prohibited by Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3319).
5. **Indirect Costs (Overhead)** - These are prohibited by Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3319).
6. **Miscellaneous** - Any expense not directly related to the program or project is considered unallowable. Costs such as child-care services hired so a person can attend a meeting or kitchen help hired to prepare refreshments for a field day are unallowable because these services are not directly related to the project plan. Promotional or thank you gifts such as T-shirts, coffee mugs, or canvas carry-all bags are not permitted to be purchased with Federal funds.

Procedures for Common Administrative Matters

1. **No-Cost Extensions of time** - First time requests which do not exceed 12 months in duration do not require USDA approval. These may be approved by the recipient organization's Authorized Organizational Representative (AOR) prior to the expiration date of the award. However, the AOR must notify USDA's Authorized Departmental Officer (ADO) within ten (10) days of approving the extension. Any additional requests for extensions of time should be sent to your administrative contact in CSREES, who will then coordinate the approval with the National Program Leader. The request must contain the length of requested extension, a summary of progress to date, an estimate of funds remaining on the award, and signatures of the PI/PD and Authorized Organizational Representative (AOR) or Cooperative Extension Director as appropriate. (See the terms and conditions for the grant.)
2. **Budget revisions** - The AOR may make allowable budget changes and other required administrative prior approvals except those which change the scope or objectives of the award, change key personnel, create a need for additional funding, or are specifically prohibited by the terms and conditions of the award.
3. **Time limits on awards** - By law, projects awarded using Smith-Lever or 7 USC 3318 funding authority may not exceed five years in duration. All funds must be expended by the end of the fifth year or they must be returned to the U.S. Treasury. The five-year limitation also includes no-cost extensions. Neither CSREES nor the AOR has the authority to approve an extension of time beyond the fifth year of an award.

When awards issued by CSREES have a maximum term limit where all funds awarded must be spent or returned to the U.S. Treasury, a new award will be issued in the final year of the term limit. This is to give the recipient the opportunity to obligate any carry-over funds that remain on the original award. This means that for one year, there will be two active awards for the same project. The recipient is urged to spend the carry-over funds promptly to avoid losing the funds.

4. **Carry-Over Funds** - Funds remaining at the end of one project year may be carried over into the next project year, with the exception of the final year. If the Program requires you to report the carry-over on your renewal application budget, budgetary details of how these funds will be spent should also be provided. If these funds will be expended in the same way as originally proposed, a statement in the budget narrative to that effect will be sufficient.

5. **Award Close-out** - Within 90 days after the expiration date of the award, the recipient is required to submit a Final Technical Report. This report shall encompass progress made on the entire project and should be submitted to the programmatic contact.

Research awards will also require a Final CRIS Report, Form AD-421. The CRIS office will notify the PI/PD within the month preceding the expiration date. This report shall be submitted to the CRIS Office.

A Final "Financial Status Report," Form SF-269, is also due within 90 days after the expiration date of the award. An original and two copies of this report shall be submitted to the Financial Management Branch, Office of Extramural Programs, CSREES.

Failure to submit the required reports may result in future award funds being withheld pending CSREES receipt and acceptance of the delinquent reports.

IMPORTANT ADDRESSES

New Proposal Applications

Regular Mail Service:

1994 Institutions Extension Program
c/o Proposal Services Unit
OEP/CSREES/USDA
Stop 2245
1400 Independence Avenue, S.W.
Washington, DC 20250-2245

Overnight Mail or Courier Service:

1994 Institutions Extension Program
c/o Proposal Services Unit
OEP/CSREES/USDA
Room 1307, Waterfront Centre
800 9th Street, S.W.
Washington, DC 20024

Administrative Requests

Regular Mail Service:

Agreements & Special Projects Branch
OEP/CSREES/USDA
Stop 2295
1400 Independence Avenue, S.W.
Washington, DC 20250-2295

Overnight Mail or Courier Service:

Agreements & Special Projects Branch
OEP/CSREES/USDA
Room 2100-K, Waterfront Centre
800 9th Street, S.W.
Washington, DC 20024

Agreements & Special Projects Branch
Office of Extramural Programs
202-401-4342 (voice)
202-401-6271 (fax)

Margaret Bell, Team Leader, mbell@reeusda.gov, 202-401-4314
Adriene Woodin, Team Leader, awoodin@reeusda.gov, 202-401-4320